



CF-86

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Howard W. Lutnick et al.  
Application No.: 10/699,858  
Filed : October 31, 2003  
For : KEYBOARD TRADING SYSTEM

New York, New York  
February 12, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

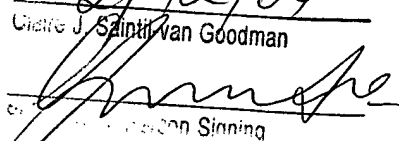
Respectfully submitted,



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P.O. Box 1450  
Alexandria, VA 22313-1450 on

2/12/04  
Clerk J. Saintil van Goodman



by [Signature] Sinning



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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. PATENT

Kline	Des. 225,858	(01/09/73)
Gosch	Des. 327,057	(06/16/92)
Busch	Des. 335,660	(05/18/93)
McCausland et al.	5,243,331	(09/07/93)
Axthelm	5,367,298	(11/22/94)
Fraser et al.	5,905,974	(05/18/99)

OTHER DOCUMENTS

Photographs of a Cantor Fitzgerald trading keyboard  
Photographs of a BrokerTec USA, LLC trading keyboard

The aforementioned documents are listed on the accompanying Form PTO-1449 (submitted in duplicate).

It is respectfully requested that these documents be printed on any patent which may issue on this application. Applicants respectfully request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

The undersigned understands that each of the trading keyboards identified under the heading "OTHER DOCUMENTS" is prior art to the above-identified application.

In addition, applicants wish to call the attention of the Examiner to the following U.S. patent applications:

Gilbert et al.	No. 10/113,841✓	(03/29/02)
Sweeting	No. 10/171,009 ✓	(06/11/02)
Sweeting et al.	No. 10/640,829 ✓	(08/13/03)
Sweeting et al.	No. 10/641,196 ✓	(08/13/03)
Lutnick et al.	No. 10/699,859	(10/31/03)

Copies of the all of the aforementioned documents are enclosed herewith. It is respectfully requested that these documents be fully considered by the Patent and Trademark Office during examination of this application.

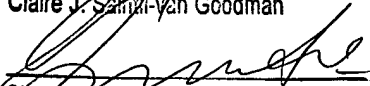
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2/12/04  
Claire J. Samml-van Goodman



Signature of Person Signing

FORM PTO-1449  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT	ATTY. DOCKET NO. CF-86	APPLICATION NO. 10/699,858
	APPLICANTS Howard W. Lutnick et al.	CONFIRMATION NO. Not Yet Known
	FILING DATE October 31, 2003	GROUP Not Yet Known

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	Des. 225,858	01/09/73	Kline	D26	5	
	Des. 327,057	06/16/92	Gosch	D14	115	
	Des. 335,660	05/18/93	Busch	D14	115	
	5,243,331	09/07/93	McCausland et al.	345	172	
	5,367,298	11/22/94	Axthelm	341	22	
	5,905,974	05/18/99	Fraser et al.	705	37	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Photographs of a Cantor Fitzgerald trading keyboard
	Photographs of a BrokerTec USA, LLC trading keyboard

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.